



ActivIdentity Support Handbook

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1.0 Support Policies

1.1 Overview

Support Packages

ActivIdentity Support packages include both technical support and maintenance (upgrades and updates). ActivIdentity offers two support packages:

- Standard Support (8x5)
- Premium Support (24x7)

8x5 refers to 9:00 A.M. to 5:00 P.M. in the customer’s local time, Monday through Friday (Saturday is included for countries in which Saturday is a work day). 8x5 support may not be available during ActivIdentity company holidays depending on your time zone. Holidays vary by geography.

Support Services	Standard Offering (8x5)	Premium Offering (24x7)
Upgrades, Updates, Hot fixes	ActivIdentity Portal (see section 1.3)	ActivIdentity Portal (see section 1.3)
Support Hours	8x5 (9:00 A.M. to 5:00 P.M. customer’s local time zone)	24x7, 365 days a year
Service Level Agreement	Yes	Yes
Access to Support	Online, Email, Phone	Online, Email, Phone
Level-1 and Level-2 Technical Support	Certified Authorized Channel Partner	Certified Authorized Channel Partner or Certified Direct Customer
ActivIdentity Technical Support Engagement	Only Personnel Certified by ActivIdentity	Only Personnel Certified by ActivIdentity

Level 3 Support

ActivIdentity provides Level-3 support to direct customers and partners (resellers or distributors). ActivIdentity does not provide Level-1 and Level-2 technical support (See section 1.5.1 for a description of the levels). ActivIdentity direct customers and ActivIdentity authorized channel partners are required to provide Level-1 and Level-2 support and qualify all technical support requests prior to engaging ActivIdentity Support. A reseller without their own support organization may purchase support through a Distributor who is certified on the product.

Certification Training

ActivIdentity’s direct customers and/or ActivIdentity authorized channel partners must have at least two (2) certified, named technical support personnel on staff to ensure Level-1 and Level-2 technical support. Named technical support personnel must be certified by ActivIdentity by passing the certification exams for the products they are supporting. Certification on any particular ActivIdentity software product only applies to the major product version (e.g. 5.x vs 6.x) used at the time of the certification exam. As new versions of the product are released, “refresher” courses provide re-certification for these new versions. Certification on ActivIdentity software products does not guarantee access to ActivIdentity product support services: rather, support services are only provided in connection with payment of the applicable support fees.

1.2 Maintenance

Maintenance is the provisioning of upgrades and updates for ActivIdentity's software products. The decision to create an upgrade or an update is at ActivIdentity's sole discretion. Upgrades and updates are provided through the ActivIdentity customer or partner portal (see section 1.3 for details). Direct customers, authorized channel partners, and their customers can register up to five (5) individuals to access the portal and download upgrades and updates. Upgrades and updates are subject to the terms, conditions and restrictions in the customer's license agreement for the software.

Maintenance is not provided for certain development tools, SDKs, soft tokens, reference implementations, and other licensed software (as indicated in the license agreement for such software).

If a customer is licensed to receive developer support for up to a maximum number of days per contract year, those days must be used during the contract year. Any remaining developer support days not used during the contract year will expire and are not redeemable by the customer.

1.2.1 Definition of Upgrades

Upgrades

Software upgrades are new major releases of ActivIdentity products that usually provide improved functionality or additional features. A software upgrade is usually indicated by incrementing the numeral immediately to the left of the decimal point in the version number of the software, e.g. 4.x --> 5.0.

1.2.2 Definition of Updates, Service Packs, and Hot fixes

Updates

Software updates are minor releases. A software update is usually indicated by incrementing one of the numerals to the right of the decimal point in the version number of the software, e.g. 4.1 --> 4.2 or 4.1.1 --> 4.1.2.

Service Packs

A Service Pack is a collection of hot fixes that has been fully regression tested, e.g. 6.6 becomes 6.6 SP1.

Hot fixes

A Hot fix is a patch to the product which has been released to address a defect or enhancement request in the product, e.g. 6.6 with hot fix FIXS1101032. Hot fixes are not fully regression tested, and customers are therefore advised to only install a hot fix if it is believed they are experiencing the issue outlined in the hot fix notification.

1.3 Customer and Partner Portal

The Customer Portal and Partner Portal are located at <http://portal.actividentity.com>. Customers and Partners can self-register to the portal to gain access. Alternatively, a support incident can be opened to request access. ActivIdentity Support will provide the access credentials and URL upon registration approval. The portal provides:

- Downloads of software, documentation, service packs, and hot fixes
- Alert subscriptions for notification messages
 - Hot fix Notifications
 - New Release Notifications
 - Security Alerts

- Technical Bulletins (and other General Notifications) – sent approximately once a month
- Sales Tools (Partners only)

1.4 ActivIdentity Support Center

The ActivIdentity Support Center is located at <https://support.actividentity.com>. The first time a customer contacts ActivIdentity support, a login and password is created and emailed to the customer. Generally the username will be the same as the Customer/Partner Portal (e.g. the email address) but the passwords can be different. The Support Center provides:

- Incident Tracking
- Configuration details of the products you have purchased
- Knowledge Base
- Surveys (generally sent once a month in response to closed incidents)
- User Forums

1.5 Technical Support

Technical Support is technical assistance troubleshooting Level 3 issues for suspected defects with ActivIdentity software or hardware. Technical Support may involve the ActivIdentity Support engineer creating a defect report for the ActivIdentity sustaining engineering team to analyze and potentially create a hot fix.

1.5.1 End Of Life

ActivIdentity provides “full support” or “limited support” for each version of software that has not reached an “end of support” status.

- Full support – Technical Support provided. Hot fixes are created when needed.
- Limited support – Technical Support provided. Hot fixes are created only for critical security issues.
- End of support (EOL) – Commercially reasonable support on a case-by-case basis. No patches or hot fixes.

The End-Of-Support date for a particular version is the release date of the next release + 26 months.

Example:

- Version 1.0 is released on January 1, 2011
- Version 1.1 or 2.0 is released on July 1, 2011
- Version 1.0 Full Support and still available for purchase by new customers July 1, 2011 until August 31, 2011
- Version 1.0 Full Support but not for sale to new customers (ok for existing customers) August 31, 2011 until August 31, 2012
- Version 1.0 Limited Support only from August 31, 2012 until August 31, 2013
- Version 1.0 End of support (EOL) after August 31, 2013

1.5.2 Technical Support Levels

- **Level-1** technical support is basic end user questions that can usually be answered by referring to the product documentation. Level-1 technical support is provided by a customer’s internal help desk service or by an ActivIdentity authorized channel partner.
- **Level-2** technical support is attempting to reproduce the issue with a duplication of the customer environment, collecting logs, and qualifying the support request particulars. Level 2 support is performed by the direct customer or the ActivIdentity authorized channel partner when no solution could be found through Level-1 technical support.
- **Level-3** technical support is involved only after Level-1 and Level-2 technical support efforts are unable to resolve the support request. ActivIdentity Support will act as the single point of contact to work with the direct customer or ActivIdentity authorized partner and provide timely status communications through the resolution process. Level-3 technical support also includes the creation of hot fixes as and when determined necessary by ActivIdentity.

1.5.3 Service Level Agreement

Severity Level	Description	Initial Response Time	Status Updating	Restoration or Resolution Target (Workaround or Fix)
1 - Urgent	Production system is down or is severely impacted	Within 60 minutes	As agreed with customer	Continuous efforts
2 – High	Product can be used but an important function is not available	Within 60 minutes	Daily	5 business days
3 – Medium	Product can be used but some moderate impact or functional restrictions	Within 1 day	4 working days	10 business days
4 – Low	Minor non-significant problem, request for enhancement, or documentation issue	Within 2 days	To be determined based upon the problem	

The service level agreement applies for both premium and standard support offerings.

ActivIdentity may modify the SLA guidelines at any time; however, no modification to the service level agreement will take effect for current customers until such time as they renew their support with ActivIdentity.

1.5.4 Technical Support Requests

Request Types

ActivIdentity Support handles any of the following technical support request types:

- Defects:** A defect is defined as a problem that exists within a product that prevents the product from performing a function that the product documentation claims it performs. A defect generally requires some new code in order to resolve the problem. This is usually done as a hot fix if the customer is experiencing an emergency situation (severity Level-1 or Level-2). In some cases, ActivIdentity may decide to address a defect in a future release.
- Enhancement Requests:** Additional product features suggested by customers or ActivIdentity authorized channel partners to ActivIdentity Support.
- Request for Assistance:** These are requests that are not related to product defects or suggested enhancements but are requests for assistance regarding the installation, implementation or configuration of ActivIdentity products. These types of requests are not covered by ActivIdentity's support services. In such cases, ActivIdentity Support will forward these requests to the appropriate ActivIdentity internal group, for example Professional Services. Any such services, if provided, shall be on a separate fee basis.
- Return Merchandise Authorization (RMA) Requests:** Customers or ActivIdentity authorized channel partners must contact ActivIdentity Support to obtain an RMA number before returning any defective devices. Defective devices can be returned under the standard 1-year hardware warranty or if the product qualifies, under the "Token Lifetime Replacement Program".

Evaluation Support

For partners or customers evaluating a product and wishing to report product questions or defects, the appropriate route is your local sales/presales contact for all such issues. Please note that product support is generally reserved to those partners and customers who have subscribed for support by paying the applicable support fees.

Requesting Support

The method for requesting support depends on whether the support request originates from an ActivIdentity direct customer or an ActivIdentity authorized channel partner, as follows:

Scenario 1: You are an end user and have purchased ActivIdentity support from an ActivIdentity authorized channel partner.

Requesting Technical Support	Requesting Maintenance
Contact your ActivIdentity authorized channel partner (Reseller)	Contact your ActivIdentity authorized channel partner, or register with the ActivIdentity Website portal to download software upgrades and updates

Scenario 2: You are an ActivIdentity direct customer and have purchased ActivIdentity support directly from ActivIdentity.

Requesting Technical Support	Requesting Maintenance
Contact ActivIdentity Support after completing Level-1 and Level-2 technical support	Register with the ActivIdentity Web portal to download software upgrades and updates

Scenario 3: You are an ActivIdentity authorized channel partner and are asking for help on behalf of one of your customers.

Requesting Technical Support	Requesting Maintenance
Contact ActivIdentity Support after completing Level-1 and Level-2 technical support OR Contact your Distributor for Support	Register with the ActivIdentity Web portal to download software upgrades and updates

1.5.5 Support Contacts

Email Support support@actividentity.com

Telephone Support All support requests will be redirected to a live support engineer available 24/7.

Americas +1 800 670 6892 (toll free)
 +1 510 574 0100

EMEA +33 (0) 1 42 04 80 80

Asia Pacific +61 2.6208.4891

Web <https://support.actividentity.com>

Please note that it is strongly recommended that customers and/or ActivIdentity authorized channel partners follow-up any email or Web-initiated technical support request for urgent problems with a phone call to ensure the shortest possible response time.

Note for U.S. Government Customers/Contractors: The phone tree system provides an option to indicate if you are a U.S. Government Customer. This decision tree must be followed in order to be directed to a member of the support organization that is a U.S. citizen and is based in the United States.

1.5.6 Log Files

For customers concerned about sending potentially sensitive information via email, an FTP account specific to the support incident can be created for uploading log files. If an FTP account is not possible, files can be sent on media by traditional mail. The FTP account and its contents are destroyed within 48 hours of the incident closure.

Log files are never sent to a third-party without a customer's consent. For government customers, log files are not sent out of the customer's country for analysis without prior consent.

1.5.7 Escalation Procedure

The ActivIdentity escalation process is designed to alert higher level managers when there is a need for additional resources to resolve an incident in a timely fashion. The determination of when to escalate the incident is based on the incident priority and the relevant support agreement with the customer.

First Escalation: Regional Support Managers ASupportManagement@actividentity.com

Second Escalation: Director of Support SupportDirector@actividentity.com

Third Escalation: VP of Products and Services GeneralManager@actividentity.com

1.6 Support Procurement Process

1.6.1 Initial Procurement

ActivIdentity highly recommends that support be purchased at the time of the software license purchase. The effective start date of the support subscription is called out in the “proof of support” purchase document that will be issued by ActivIdentity after receiving the purchase order and then distributed either to the direct customer if purchased directly from ActivIdentity or to the ActivIdentity authorized channel partner to be passed through to the end user (at the partner’s discretion). The “proof of support” will contain information identifying the end user, the software under support, the support period, and other details of the support purchased.

If, for some reason the support was not purchased with the software license, the customer must purchase support with a support subscription start date of the original product purchase with one year expiration as well as an administrative fee of 15% of the list price.

The minimum fee for premium support (24x7) is 10,000 USD/Euros.

The minimum fee for standard support (8x5) is 5,000 USD/Euros.

Please note that direct customers can purchase only premium support from ActivIdentity, while ActivIdentity authorized channel partners can resell both standard as well as premium support. In either case, the term of the initial support period is 12 months unless otherwise agreed by ActivIdentity.

1.6.2 Renewal

Upon the expiration of the initial support period, support may be renewed for successive periods, which consist of additional one-year or multi-year periods.

All products and licenses will be co-terminated and pro-rated at the time of renewal. The renewal date for future renewals is to be agreed upon with the ActivIdentity direct customer and/or ActivIdentity authorized channel partner as well as their renewal account manager.

Either party may terminate the support subscription during any subsequent renewal period upon advance written notice (registered or electronic mail) of at least three (3) months prior to the anniversary date. Should the ActivIdentity direct customer and or ActivIdentity authorized channel partner decide to do so, ActivIdentity will not refund or credit the remaining service fees.

If a customer lets the support renewal lapse within a three month period, a 5% reinstatement fee of the list price of support will be applied and the then renewed subscription will begin at the end of the previous subscription. If the customer exceeds the three month period, a 15% reinstatement fee of the total list price of support will be applied and the renewed subscription will begin at the end of the previous subscription.

2.0 Token Lifetime Replacement Program

ActivIdentity has created the Token Lifetime Replacement Program to assist channel partners in promoting ActivIdentity hardware token products and to position them well against competitors.

Please be aware that the Token Lifetime Replacement Program should not be mistaken for the ActivIdentity Hardware Warranty, but rather is a marketing program to empower our partners. A device is covered by the Token Lifetime Replacement Program when it meets all of the following conditions:

- Device is one of the following:
 - ActivIdentity Token One
 - ActivIdentity Keychain Token
 - ActivIdentity Pocket Token
 - ActivIdentity Mini Token, or
 - ActivIdentity Desktop Token
- Device has a batch number of 0720138 or higher
- The token being replaced must be part of a deployment of less than 5,000 devices with a valid, uninterrupted support subscription for one of the following products:
 - ActivIdentity 4TRESS AAA Server for Remote Access
 - ActivIdentity 4TRESS Authentication Server for Enterprise
 - ActivIdentity 4TRESS Authentication Appliance for Enterprise

Shipping costs for returned tokens must be covered by the customer. ActivIdentity reserves the right to invoice the customer for the shipping costs of the replacement tokens.

Defective devices covered by the Token Lifetime Replacement Program can be returned after having obtained an RMA number from ActivIdentity Support. Devices with expired batteries can be returned with the exception of the ActivIdentity Token One, as the battery compartment can be opened with a screwdriver and batteries can be changed easily.

3.0 Hardware Support and the Return Merchandize Authorization Process

3.1 Tokens, Smart Cards, and Smart Card Readers

Tokens, Smart Cards, and Smart Card Readers do not include Support. They are shipped with a hardware warranty. A one-year warranty period is standard.

An RMA is required prior to the return of defective hardware devices to ActivIdentity.

ActivIdentity Support will provide you with detailed instructions on where and how to send your RMA shipment. ActivIdentity shall have sole discretion to determine whether to issue an RMA. Hardware devices that are not found by ActivIdentity to be defective will not be exchanged regardless of whether ActivIdentity has issued an RMA.

RMAs are issued under the following circumstances:

- A device fails within the ActivIdentity standard 1-year hardware warranty period

- A device is covered under the “Token Lifetime Replacement Program”

To initiate an RMA process, please contact ActivIdentity Support. Upon receipt of your request, ActivIdentity Support will provide you with an RMA Information Document that includes a troubleshooting guide as well as an RMA form to describe and identify device problems.

Once you have submitted the forms back to ActivIdentity Support and your request has been deemed valid, ActivIdentity will assign you an RMA number and provide you with the contact address to ship the defective token.

Note: Please make sure to write the RMA number visibly on the shipping box to ensure proper processing.

Upon receipt, your shipment will be tested and all defective tokens will be exchanged. The customer is responsible for shipping charges back to factory, and ActivIdentity will cover shipping charges (excluding duties and taxes) back to the customer.

3.2 PIVMAN Handheld Devices

If the ActivIdentity Support representative determines an issue is due to hardware supplied by an authorized ActivIdentity reseller, the support representative will contact the hardware partner with the serial number of the unit. The reseller will determine if the issue can be resolved remotely or if it requires an RMA.

3.3 Appliances

Warranty Period:

Responder Appliance: 3 years

4TRESS AS Appliance (pre-FT2011): 3 years

4TRESS AS Appliance (FT2011): 1 Year, extensible to 3 years at time of purchase

CMS Appliance: 1 Year, extensible to 3 years at time of purchase

Warranty Coverage:

Parts and Labor

Field Replaceable Items:

Responder Appliance: On-site next-business-day support for entire box (3 years)

4TRESS Appliance: Power Supply, Hard Drive Kit

CMS Appliance: Hard Drive Kit

Procedure:

If the ActivIdentity Support representative determines an issue to be due to ActivIdentity-supplied hardware, the support representative will work with the manufacturer and the customer together to resolve the issue. Depending on the manufacturer, this may involve phone and/or on-site support or shipping the appliance to a regional repair center. If shipping the appliance to a repair center is required, first a replacement appliance will be shipped from ActivIdentity or its designated partner by the next business day. The customer must transfer any data from the original appliance to the replacement appliance and return the original appliance to ActivIdentity or its partner

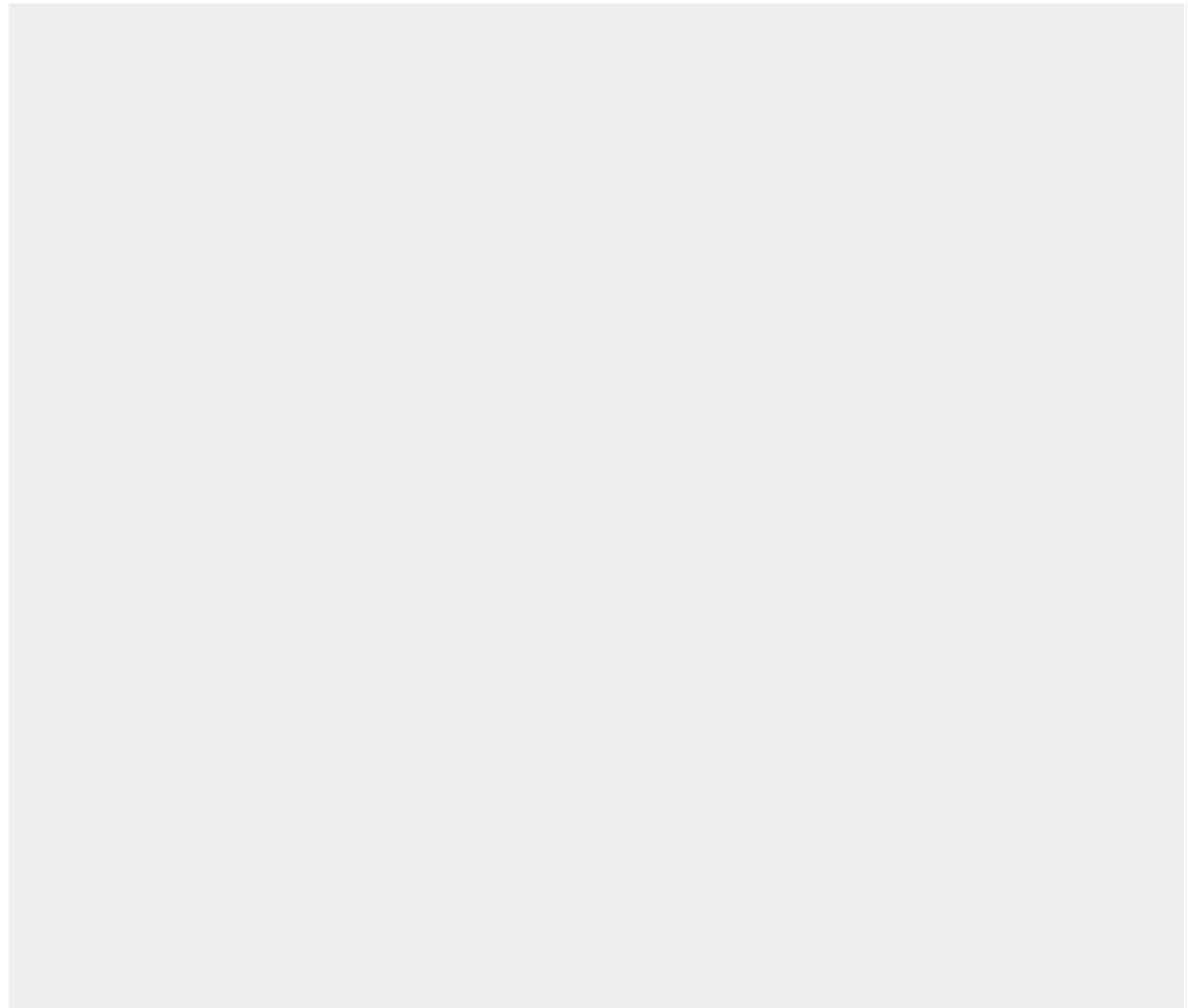
within four (4) weeks or they will be invoiced for the new appliance. Instructions for handling field-replaceable items and all RMA procedures will be provided by ActivIdentity Support.

3.4 C5/ActivEntry Modules

If the ActivIdentity Support representative determines an issue to be due to ActivIdentity supplied hardware, then the support representative will contact the manufacturer with the serial number of the unit. The manufacturer will provide an RMA number. Customers will ship the defective board to ActivIdentity support, whom will in turn ship it to the manufacturer. Within 48 hours of receipt of the unit, Support will ship either a repaired or new unit to the customer.

3.5 Hardware Security Modules (HSMs)

If the ActivIdentity Support representative determines an issue to be due to hardware resold by ActivIdentity, the support representative will contact the manufacturer with the serial number of the unit. If the incident cannot be resolved remotely, then the manufacturer will provide an RMA number. The customers will ship the defective device to the manufacturer.



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